



Office of the Comptroller  
Grant Award and Financial Management Information

## Post Award Instructions

May 2005

## Post Award Instructions

The following is provided as a tool for the financial administration of awards from the Office of Justice Programs (OJP). Forms and other documents illustrating each step are attached.

### ! **Step 1. Review the Award Document and Special Conditions**

Notification of award approval is made by e-mail through the OJP Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official. The e-mail will direct the applicant to a link in GMS to view the Award Documents.

**If you agree** with the terms and conditions stated in the award, the documents should be printed, reviewed, signed by the authorized official and faxed back to the OC Control Desk at (202)–353–8475 or (202)–616–5962. Notify your OJP Program Office when Special Conditions have been met.

**If you do not agree** with the terms and conditions of the award as written, contact your OJP Program Office (see the last page of the award document entitled “Project Summary” for contact information).

Award acceptance is due within 45 days from the award date. Failure to respond to the award may result in deobligation of funds.

### ! **Step 2. Read the Guidelines**

Read and become familiar with the OJP *Financial Guide* and related material. The *Financial Guide* is available via the Internet at <http://www.ojp.usdoj.gov/FinGuide/>.

### ! **Step 3. Complete and Return the ACH Form**

The ACH Vendor/Miscellaneous Payment Enrollment Form is used to arrange direct deposit of funds by your organization into a designated bank account.

### ! **Step 4. Access to Payment Systems**

OJP uses two payment systems: the Phone-Activated Paperless Request System (PAPRS) and the Letter-of-Credit Electronic Certification System (LOCES). Current LOCES users will see the addition of new OJP grants on the LOCES grant number listing as soon as the awards are issued. PAPRS grantees will receive a letter by mail from the Office of the Comptroller containing their PIN to access the system and Grant ID information. This information is usually mailed within 1 week of the award date.

### ! **Step 5. Reporting Requirements**

Reporting requirements must be met during the life of the grant. OJP payment systems will deny requests for funds if reporting requirements are not met on a timely basis.

! **Step 6. Questions About Your OJP Award**

A reference sheet is provided containing frequently asked questions and answers. If you need information on any financial aspect of your award, contact the Office of the Comptroller's Customer Service Center at **1-800-458-0786** (choose option 2) or e-mail [ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov). The Customer Service Center staff is available Monday through Friday, from 8:30 a.m. to 6:00 p.m. (Eastern Standard Time) to assist you.

**Office of the Comptroller  
Post Award Instructions**

**STEP 1 - Review Award and Special Conditions Document**


Awards are processed through the OJP Grant Management System (GMS). Grantees are notified by e-mail through the Grant Management System when awards are released. Paper copies of award documents are not mailed to award recipients. When you receive an e-mail notification announcing award of a grant, go to GMS to view and print the Award Documents on-line.

Attached are sample pages from GMS of the Award and Special Conditions pages that award recipients will need to print, sign , and return to OJP to accept the award.

**If you agree** with the terms and conditions of the award, print the documents. The authorized official must sign and date the Award and Special Conditions documents and fax them to OJP Control Desk at (202)–353–8475 or (202)–616–5962.

**If you do not agree** with the terms and conditions, contact the awarding OJP Program Office as noted in the award package to decline, withdraw, or request modification.

**You have 45 days from the award date to accept the award. Failure to accept within 45 days may result in deobligation of funds.**

 Department of Justice Office of Justice Programs <OJP Program Office>		<b>Grant</b>		PAGE 1 OF 2																	
1. RECIPIENT NAME AND ADDRESS (Including Zip Code) <Grantee County> <Grantee Address> <City, State, Zip>		4. AWARD NUMBER: 2005- XX -XX -1234																			
		5. PROJECT PERIOD: FROM      mm/dd/yyyy TO      mm/dd/yyyy BUDGET PERIOD: FROM      mm/dd/yyyy TO      mm/dd/yyyy																			
1A. GRANTEE IRS/VENDOR NO. xxxxxxxxxx		6. AWARD DATE      mm/dd/yyyy		7. ACTION Initial																	
		8. SUPPLEMENT NUMBER																			
		9. PREVIOUS AWARD AMOUNT		\$ 0																	
3. PROJECT TITLE <Project Title>		10. AMOUNT OF THIS AWARD		\$ xxx																	
		11. TOTAL AWARD		\$ xxx																	
12. SPECIAL CONDITIONS THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).																					
13. STATUTORY AUTHORITY FOR		<div style="text-align: center; font-size: 48px; padding: 50px;">Sample</div>																			
15. METHOD OF PAYMENT PAPRS																					
<div style="background-color: black; color: white; text-align: center; padding: 2px;">           AGENCY APPROVAL         </div>		<div style="background-color: black; color: white; text-align: center; padding: 2px;">           GRANTEE ACCEPTANCE         </div>																			
16. TYPED NAME AND TITLE OF APPROVING OFFICIAL  Assistant Attorney General		18. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL  Chief Administrative Officer																			
17. SIGNATURE OF APPROVING OFFICIAL		19. SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL		19A. DATE																	
<div style="background-color: black; color: white; text-align: center; padding: 2px;">           AGENCY USE ONLY         </div>																					
20. ACCOUNTING CLASSIFICATION CODES <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>FISCAL YEAR</th> <th>FUND CODE</th> <th>BUD. ACT.</th> <th>OFC.</th> <th>DIV. REG.</th> <th>SUB.</th> <th>POMS</th> <th>AMOUNT</th> </tr> </thead> <tbody> <tr> <td>x</td> <td>B</td> <td>xxx</td> <td>00</td> <td>00</td> <td>00</td> <td></td> <td>xxx</td> </tr> </tbody> </table>		FISCAL YEAR	FUND CODE	BUD. ACT.	OFC.	DIV. REG.	SUB.	POMS	AMOUNT	x	B	xxx	00	00	00		xxx	21. VT05U00005			
FISCAL YEAR	FUND CODE	BUD. ACT.	OFC.	DIV. REG.	SUB.	POMS	AMOUNT														
x	B	xxx	00	00	00		xxx														

OJP FORM 4000/2 (REV. 5-87) PREVIOUS EDITIONS ARE OBSOLETE.

OJP FORM 4000/2 (REV. 4-88)

May 2005



Department of Justice  
Office of Justice Programs  
<OJP Program Office>

**AWARD CONTINUATION  
SHEET  
Grant**

PAGE 2 OF 2

PROJECT NUMBER 2005-\_\_-\_\_-\_\_

AWARD DATE mm/dd/yyyy

*SPECIAL CONDITIONS*

1. The recipient agrees to comply with the financial and administrative requirements set forth in the current edition of the Office of Justice Programs (OJP) Financial Guide.
2. The recipient acknowledges that failure to submit an acceptable Equal Employment Opportunity Plan (if recipient is required to submit one pursuant to 28 C.F.R. Section 42.302), that is approved by the Office for Civil Rights, is a violation of its Certified Assurances and may result in suspension or termination of funding, until such time as the recipient is in compliance.
3. The recipient agrees to comply with the organizational audit requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, as further described in the current edition of the OJP Financial Guide, Chapter 19.
4. Recipient understands that any change in the terms of the award, including but not limited to, the addition, deletion, or modification of any condition, without the express prior written approval of the Office of Justice Programs, may result in the suspension or termination of the award.
5. The recipient further certifies that it does not promote, support, or advocate the legalization or practice of prostitution, nor will it use grant funds or program match funds to promote, support, or advocate the legalization or practice of prostitution.
6. The recipient agrees to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within this project.
7. The applicant budget is pending review or approval. The recipient may not obligate, expend or draw down any grant funds until the Office of the Comptroller, Office of Justice Programs has issued clearance of the application budget and budget narrative, and a Grant Adjustment Notice has been issued removing this special condition.
8. Recipient may not obligate, expend or drawdown funds until the Office of Justice Programs (OJP) has reviewed and approved the Program Narrative portion of the application and has issued a Grant Adjustment Notice (GAN) informing the recipient of the approval.
9. Recipient certifies that it does not promote, support, or advocate the legalization or practice of prostitution, nor will it use grant funds or program match funds to promote, support, or advocate the legalization or practice of prostitution.

Sample

## **Office of the Comptroller Post Award Instructions**

### **STEP 2 - Read Guidelines**

There are Office of Management and Budget (OMB) Circulars and Common Rules and other important information you will need to know for the administration of your award. The most up-to-date versions of these documents are available through the Internet, as noted:

For OMB Circulars, go to  
<http://www.whitehouse.gov/omb/grants/index.html>.

For the Code of Federal Regulations (CFR), go to  
<http://www.gpoaccess.gov/cfr/index.html>

For the current OJP *Financial Guide*, go to  
<http://www.ojp.usdoj.gov/FinGuide/>

If you have questions concerning the content of the *Financial Guide*, please contact:

**Office of Justice Programs  
Office of the Comptroller  
Customer Service Center  
1-800-458-0786  
or  
[ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov)**

## OMB Circulars and Common Rules For Grant Management

**Administrative requirements for all Federal award recipients are contained in governmentwide Common Rules.**

OMB Circular A-110                      "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals and Other Non-Profit Organizations," (codified at 28 CFR Part 70).  
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

"Governmentwide Debarment and Suspension (Nonprocurement), and Requirements for Drug-Free Workplace (Grants) Rules (Final and Interim Final)," (codified at 28 CFR Part 67).  
<http://www.whitehouse.gov/omb/fedreg/2004/031126.pdf>

"New Restrictions on Lobbying," (codified at 28 CFR Part 69).

Additionally, if you are a:	You are subject to the following rules:
College or University	<b>OMB Circular A-21:</b> "Cost Principles for Educational Institutions," (codified at 28 CFR Part 66, by reference). <a href="http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html">http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html</a>
State, Local, Indian Tribal, and U.S. Territory Government	<b>OMB Circular A-87:</b> "Cost Principles for State, Local, and Indian Tribal Governments," (codified at 28 CFR Part 66, by reference). <a href="http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html">http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html</a>
Nonprofit Organization	<b>OMB Circular A-122:</b> "Cost Principles for Nonprofit Organizations," (codified at 28 CFR Part 66, by reference). <a href="http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html">http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html</a>
For-Profit Organization	<b>48 CFR 31.2:</b> "Contracts With Commercial Organizations"
Hospital	<b>45 CFR 74, Appendix E:</b> "Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals"

**Common Rules are contained in:**

OMB Circular A-102                      "Grants and Cooperative Agreements with State and Local Governments," (codified at CFR Part 66).  
<http://www.whitehouse.gov/omb/circulars/a102/a102.html>

**Audit Requirements:**

OMB Circular A-133                      "Audits of States, Local Governments and Nonprofit Institutions," (codified at CFR Part 66 and Part 70).  
<http://www.whitehouse.gov/omb/circulars/a133/a133.html>



**Office of the Comptroller  
Post Award Instructions**

**STEP 3 - Complete and Return ACH Form**

In accordance with the Debt Collection Improvement Act of 1996, payments by the Office of Justice Programs, Office of the Comptroller, are electronically deposited to recipient accounts by the U.S. Department of the Treasury through the Automated Clearinghouse (ACH) form.

The attached ACH form (ACH Vendor/Miscellaneous Payment Enrollment Form, SF 3881) is used to establish direct deposit with the preferred financial institution used by your organization.

**If you have accepted** the terms and conditions specified in your award, the attached ACH form must be completed and signed by your preferred financial institution. **Send the ORIGINAL** ACH form (i.e., the ACH form containing the original signature of the bank representative) via courier service (e.g., Federal Express, UPS, etc.) to:

**Office of Justice Programs  
Office of the Comptroller  
Attn: Control Desk—ACH  
810 Seventh Street, NW., 5th Floor  
Washington, DC 20531**

**Note: Faxed or copies of original form will not be accepted. Originals only.**

## ACH Information

There are three sections comprising the ACH form:

- ! Agency Information section - Preprinted on form.
- ! Payee/Company Information Section - Payee (also known as grantee) prints or types the following: identifying information (i.e., name of grantee organization and street address), OJP-assigned vendor number, and the name of the official contact person for the award, and his or her e-mail address and telephone number. The e-mail address will be used to notify the contact about payment confirmation or other notices concerning the financial aspects of grants.

The Depositor Account Title and the name of the organization that received the award should be exactly the same (e.g., award recipient “ABC Police Department” would be considered a different entity from the depositor title “City of ABC”). If the award recipient differs from the Depositor Account Title, a letter of explanation is required. This letter must be sent with the ACH form and submitted on the recipient’s letterhead, signed by an authorized official, and must explain why the funds are to be deposited into an account belonging to an entity other than the direct recipient of the award.

- ! Financial Institution Information Section - This section should be filled out by the grantee’s financial institution/bank official ONLY. The type of account should be checked, and the signature, title, and telephone number of the appropriate financial institution official should be included as well. **Only the authorized financial institution/bank official should sign the last line in the “Financial Institution Information” section of the ACH form.** The Office of the Comptroller will confirm the banking information with the financial institution prior to entry into OJP records.

**The ACH form must be received prior to drawdown or request for funds.**

The form and instructions are available on the Internet at <http://www.ojp.usdoj.gov/forms.htm>.

**ACH VENDOR/MISCELLANEOUS PAYMENT  
ENROLLMENT FORM**

OMB No. 1510-0056

This form is used for Automated Clearinghouse (ACH) payments with an addendum record that contains payment-related information processed through the Vendor Express Program. Recipients of these payments should bring this information to the attention of their financial institution when presenting this for completion.

**PRIVACY ACT STATEMENT**

The following information is provided to comply with the Privacy Act of 1974 (P.L. 93-579). All information collected on this form is required under the provisions of 31 U.S.C. 3322 and 31 CFR 210. This information will be used by the U.S. Department of the Treasury to transmit payment data, by electronic means to vendor's financial institution. Failure to provide the requested information may delay or prevent the receipt of payments through the Automated Clearinghouse Payment System.

**AGENCY INFORMATION**

FEDERAL PROGRAM AGENCY  
OFFICE OF JUSTICE PROGRAMS

**OJP Grant Number/s:**

AGENCY IDENTIFIER:  
OJP

AGENCY LOCATION CODE (ALC):  
15-04-0001

ADDRESS:  
810 Seventh Street, NW., Attn: Office of the Comptroller Control Desk

Washington, D.C. 20531

AGENCY CONTACT:  
Office of the Comptroller - Customer Service Center

TELEPHONE NUMBER  
1-800-458-0786

**PAYEE/COMPANY INFORMATION**

**OJP Vendor Number:**

NAME:

ADDRESS:

E-MAIL ADDRESS:

CONTACT PERSON NAME:

TELEPHONE NUMBER:  
(    )

**TO BE COMPLETED BY FINANCIAL INSTITUTION**

NAME:

ADDRESS:

NAME OF BANK OFFICIAL OR ACH COORDINATOR :

TELEPHONE NUMBER:  
(    )

NINE-DIGIT ROUTING TRANSIT NUMBER:  
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DEPOSITOR ACCOUNT TITLE:

DEPOSITOR ACCOUNT NUMBER

LOCKBOX NUMBER:

TYPE OF ACCOUNT:    ☐ CHECKING    ☐ SAVINGS    ☐ LOCKBOX

SIGNATURE AND TITLE OF AUTHORIZED BANK OFFICIAL OR ACH COORDINATOR:

DATE

**Office of the Comptroller  
Post Award Instructions**

**STEP 4 - Access to Payment Systems**

Payments by the Office of Justice Programs, Office of the Comptroller, are electronically deposited to recipient's account by the U.S. Department of the Treasury through the Automated Clearinghouse (ACH) form. Before you attempt to access the payment systems, the ACH information must be submitted. For ACH instructions, see Step 3.

Grantees and vendors must use one of two available payment systems to request payments:

**Phone-Activated Paperless Request System (PAPRS): 1-800-879-4513**

or

**Letter-of-Credit Electronic Certification System (LOCES)**

Confirmation of payments are sent by e-mail to the contact person named on the ACH form. Changes to the email address of the contact person may be made by email to OC through [ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov)

## PAYMENT METHODS

There are two methods used by grantees to request their funds: (1) LOCES and (2) PAPRS.

**LOCES (Letter-of-Credit Electronic Certification System).** LOCES is a modem connection service that allows recipients of Federal funds to use a personal computer (PC) to electronically request payment from the Office of Justice Programs. Grantees must use customized software from the Office of Justice Programs to operate the LOCES system.

At this time, all new grantees are automatically assigned to PAPRS.

**PAPRS (Phone-Activated Paperless Request System).** PAPRS enables grantees to use their touch-tone telephone. This system will prompt grantees for their vendor number, PIN number, and Grant ID number.

A “PAPRS Manual,” which explains the use of the PAPRS system, is attached. All grantees who are not currently assigned to LOCES will receive a letter containing their PIN and Grant ID information for the use of the PAPRS payment system. Grantees who have not received their PAPRS information within 1 week of award acceptance should contact the OC Customer Service Center as noted below.

### **Note: Important Banking Information**

Regardless of the method grantees use to request funds, all funds will be electronically disbursed by the U.S. Department of the Treasury to the grantee’s designated financial institution for deposit into their bank account. For this reason, grantees must insure that they complete and return the *original* ACH banking information form (entitled ACH Vendor/ Miscellaneous Payment Enrollment Form), which is included in the Award Package. The original ACH form must bear the original signature of the authorized bank official.

**For further information about payments or the use of these systems, contact the Office of the Comptroller Customer Service Center at 1-800-458-0786 (select option 2) or e-mail [ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov).**



U.S. Department of Justice  
Office of Justice Programs  
Office of the Comptroller

# *\*Phone Activated Paperless Request System PAPRS*

## **Instruction Manual**

## Welcome to PAPRS . . . .

Through the use of a touch-tone telephone, you may access funds awarded to your organization by the Office of Justice Programs (OJP). Once your organization has submitted the signed acceptance of your award, your organization will receive a letter containing grant ID and PIN number information. This information will allow you to use OJP's Phone-Activated Request System (PAPRS) to access your funds.

If this is your first award, your organization was assigned a vendor number, grant ID number, and a PIN number. To access subsequent awards, you will need a new grant ID number for each award, but your PIN number will remain the same as for the initial award.

To access the OJP PAPRS payment system, call 1-800-879-4513. Once you have dialed PAPRS, you will hear easy-to-follow prompts as you proceed. You will have the opportunity to change information related to your request. At the end of each request for funds, PAPRS will advise you if your request has been approved for payment. If your request has not been approved, PAPRS will tell you what you will need to do to clear the record for approval. If PAPRS gives you a reference number, it means that your request has been accepted but will require additional review before it can be approved. Please make note of any reference number given to you, as you can call back to check on the progress of any such requests.

If you have questions concerning PAPRS, payments, or any financial aspect of your OJP award, contact the Office of the Comptroller's Customer Service Center at 1-800-458-0786 or [ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov).

The following is a step-by-step caller interface flow of how the system works and what information is needed during your call. Text in *italics* is the voice response you will hear from PAPRS. As you connect to PAPRS you will hear...

*Thank you for calling the Phone-Activated Paperless Request System at the Office of Justice Programs. Please enter your vendor number.*

Enter your nine-digit OJP-assigned vendor number. This number may or may not be the same as your taxpayer identification number (EIN) assigned by the Internal Revenue Service.

*Please enter your PIN number.*

Enter the four-digit PIN number that was sent to you by letter. If your combination of OJP vendor number and PIN number are correct, you will be allowed to continue.

### Main Menu:

*To request grant funds, press 1.*

Press 1 to request a drawdown or payment of your grant funds.

*To reconcile your account, press 2. (currently unavailable)*

Press 2 to make an adjustment of previously drawn down funds. For example, if you have previously drawn funds against a grant in error and wish to move that drawdown of funds to the correct grant, you are able to do that online.

If you choose option 1 from Main Menu: Request Funds

*Please enter your grant ID*

Enter the unique six-digit number assigned to the grant you wish to access now.

*You have entered (grant ID). To continue, press 1. To re-enter, press 2.*

\* \* \* \* \*



Sub-Menu Option 1: Press 1 if you are requesting funds for a future period of time.

*To request an advance of funds from one of your accounts, press 1.*

*If you wish to request reimbursement for your expenses, press 2.*

*To return to the main menu, press the star key (\*).*

*Please enter the dates covered by this expense claim.*

*To enter October 2, 2001, you would enter 10022001.*

*Please enter the beginning date now.*

Enter the beginning date for an advance of funds. Note that the date entered for an “advance” must be later than today’s date.

*You entered (date). To continue, press 1. To re-enter, press 2.*

*Please enter the ending date now.*

Enter the ending date. Note that the ending date must be later than the “beginning date.”

*You entered (date). To continue, press 1. To re-enter, press 2.*

*Please enter the amount you are requesting as a whole dollar amount, followed by a pound sign.*

*Cents may be entered using the star sign as a decimal point. For example, twenty-five thousand dollars and 50 cents would be added as 2 5 0 0 0 \* 5 0 #.*

*You entered (amount). To continue, press 1. To re-enter, press 2.*

*If you wish request a lower amount from this award, press 1.*

*To exit, press 2.*

You will then return to the previous menu where you can request funds on another grant.

\* \* \* \* \*

Sub-Menu Option 2: Press 2 if you are requesting reimbursement for funds that you have already expended.

*Please enter the dates covered by this expense claim. To enter March 15, 2001, you would enter 03152001. Please enter the beginning date now.*

*You entered (date). To continue, press 1. To re-enter, press 2.*

*Please enter the ending date now.*

*You entered (date). To continue, press 1. To re-enter, press 2.*

*Please enter the amount you are requesting as a whole dollar amount, followed by a pound sign.*

*Cents may be entered using the star sign as a decimal point. For example, twenty-five thousand dollars and 50 cents would be added as  
2 5 0 0 0 \* 5 0 #.*

*You entered (amount). To continue, press 1. To re-enter, press 2.*

\* \* \* \* \*

The system will be performing many calculations and checks against various database files as you are entering information. If you are enrolled in the Automated Clearinghouse (ACH) and your request is approved, you will hear:

*Your request has been approved. Your request has been received and is being processed.*

If you have previously received paper checks through the U.S. Postal Service and your request is approved, you will hear:

*Your request has been approved.*

\*\*\* Please note: the U.S. Department of the Treasury has directed Federal agencies to establish electronic deposit (through ACH) for payments issued through their programs.

You may also hear a message that your request for funds is not approved for specific reasons, such as:

*The amount you have requested is equal to the entire amount of this award. If you wish to request a lower dollar amount from this award, press 1. To return to the main menu, press “\*”.*

*Or*

*Your request for funds exceeds the amount currently available for this award. If you wish to re-enter a different amount, press 1. To return to the main menu, press “\*”.*

*Or*

*The dates you have entered overlap with previous fund requests. To return to the main menu, press “\*”.*

*Or*

*Our records indicate that you have not filed a current SF269. Please mail your report to.... To return to the main menu, press “\*”.*

*Or*

*Our records indicate that you have not accepted your grant award document. To return to the main menu, press “\*”.*

In each instance, you will have the opportunity to exit and to try again. If you need further information or assistance with payment issues, contact the Office of the Comptroller’s Customer Service Center at 1–800–458–0786 (select option 2) or at [ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov).

**Office of the Comptroller  
Post Award Instructions**

**STEP 5 - Reporting Requirements**

Reporting requirements must be met during the life of the grant. A full explanation of these requirements can be found in the OJP *Financial Guide*, which may be accessed at <http://www.ojp.usdoj.gov/FinGuide/>. Also check special conditions on awards for additional reporting requirements. The Payment Systems (see Step 4) will not permit access to funds if financial reporting is delinquent.

The following information concerns:

- ! Single Audit Reports
- ! Categorical Progress Reports
- ! Financial Status Reports
- ! Closeout Procedures

## Single Audit Reports

A special condition may be included with your award that details reporting requirements for audit reports. Please review and comply with that special condition. There is no form for submission of audit reports; however, a transmittal letter is needed. Information about the letter and the rules for single audits may be found in the OJP *Financial Guide* under Part III, Post Award Requirements, Chapter 19: Audit Requirements and in OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.

The submission of audit reports for all grantees shall be as follows:

- ! **State and Local Governments, Institutions of Higher Education, and Nonprofit Institutions.** All completed audit reports for State and local governments, institutions of higher education, and nonprofit institutions should be mailed to the Federal Audit Clearinghouse, Bureau of Census, 1201 East 10<sup>th</sup> Street, Jeffersonville, IN 47132. **Do NOT submit your audit reports to OJP unless specifically requested.**
- ! **Commercial Organizations and Individuals.** One copy of all audit reports for commercial organizations and individuals should be mailed to the OJP/Office of the Comptroller, ATTN: Control Desk, 810 7<sup>th</sup> Street NW., Room 5303, Washington, DC 20531.

## Categorical Progress Reports:

Reporting on the progress of the grant program is required. Some grants may require an annual submission of progress report information. Most programs require semi-annual reporting. Reporting requirements are specified in the grant Solicitation and in the special conditions specified in the award document. The Progress Report Module in GMS is designed to allow filing of Progress Reports electronically. Refer to your award documents for instruction concerning submission of Progress Reports.

Semi-annual reports are due:

<b><u>Reporting period:</u></b>	<b><u>Due no later than:</u></b>
<b>January 1–June 30</b>	<b>July 30</b>
<b>July 1–December 31</b>	<b>January 30</b>

The attached Categorical Progress Report Form (OJP Form 4587/1) is to be used ONLY if your grant does not require electronic submission of the progress report through GMS. Questions concerning progress reporting should be directed to the OJP Program Manager for the award.

## Quarterly Financial Status Reports ( SF 269A):

This report (also called FSR) is used to track actual expenditures and unliquidated obligations. The SF269s are to be filed quarterly and are due no later than 45 days after the calendar quarter ends. Grantees are encouraged to submit their SF269s as soon as the quarter ends to avoid delays in processing and access to grant funds.

**This report can now be filed online.** To file the SF269 Financial Status Report online, use Internet Explorer 5.0 and Adobe 6.0. Go to <https://grants.ojp.usdoj.gov/>. Click on **SF269 Sign-In**. The system will prompt you to enter your “user name” and “password.” The user name will be the OJP-assigned vendor number (e.g., 611–291304). The initial password is “Ojpsf269\*”.

The system will prompt you to enter the initial password “Ojpsf269\*” twice. You will then be asked to create a **unique password** for your vendor number. The unique password must be between 8 and 15 characters long and must include one of each of the following: lowercase letters, upper case letters, numbers, and special characters, such as #, \$, and \*. Be sure to keep track of your unique password.

If you encounter problems with access or use of the Web269 system, contact the **Office of the Comptroller’s Customer Service Center** at 1–800–458–0786 (select option 2) or send a message through [ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov) . A Financial Assistant will walk you through the SF269 submission process.

The schedule for submitting the SF269 Financial Status Report is as follows:

<b><u>Reporting quarter:</u></b>	<b><u>Due no later than:</u></b>
<b>January 1–March 31</b>	<b>May 15</b>
<b>April 1–June 30</b>	<b>August 14</b>
<b>July 1–September 30</b>	<b>November 14</b>
<b>October 1–December 31</b>	<b>February 14</b>

## Closeout Procedures

Within 120 days after the ending date of the award, grantees should initiate closeout as follows:

- ! Drawdown any funds (if your reported expenditures are higher than your drawdowns to date) or submit a check to OJP for the balance (if your drawdowns are higher than your reported expenditures).
- ! File a final Financial Status Report (SF269) on-line. This FINAL report of expenditures must be marked FINAL, must have no unliquidated obligations, and must indicate the exact balance of unobligated funds. Any unobligated/unexpended funds will be deobligated from the award amount.
- ! Submit a final Progress Report. This report should be marked FINAL and prepared in accordance with the instructions provided by your Program Manager.
- ! Contact your OJP Program Manager to advise that closeout has been initiated.

## Instructions for Completing OJP Categorical/Discretionary Assistance Progress Reports

Grantees are required to submit Progress Reports on project activities and accomplishments. Reports should include data appropriate to this stage of project development and sufficient detail to provide a clear idea and summary of work and accomplishments to date.

**Progress Reports should be submitted through the OJP Grants Management System (GMS) unless otherwise directed by your OJP Program Manager.**

The following should be observed in the preparation and submission of Progress Reports:

a. **Due Date.** Reports are usually due on a semi-annual basis—30 calendar days after June 30 and December 31—for the life of the grant as follows or otherwise listed in the solicitation of the grant:

Reporting period:	Due no later than:
January 1–June 30	July 30
July 1–December 31	January 30

A final progress report is due 120 days following the close of the grant period or any extension thereof.

b. **Submission.** Grantees should follow instructions in the Solicitation or in the special conditions attached to the award documents to determine if report is to be filed through the Progress Report Module in GMS or through paper form.

c. **Form and Execution.** Use the attached paper form only if specified by the terms of your grant award or if OJP Program Office requests paper instead of filing on-line through the GMS Progress Report module.

d. **Reporting Requirements.** The reporting requirements are to provide the grantor agency with sufficient information to monitor grant implementation and goal achievement. To support effective monitoring of the grant, progress reports must be keyed to the grant implementation plan provided in the grant application. Specifically, the report should:

1. Indicate the status of each goal that was due for completion during a previous reporting period but carried over because of implementation or other problems.
2. State the status of each goal scheduled to be achieved during the reporting period.
3. State the corrective action planned to resolve implementation problems, and state the effect these problems had on achieving the project's goals during the remaining schedule.
4. If appropriate, identify changes that are needed in the implementation plan (specified in the grant application) to overcome problems. Changes that alter plans and/or goals set forth in the application require prior grantor agency approval and issuance of a Grant Adjustment Notice (GAN).
5. State what technical assistance the Grantor Agency might provide during the set 6-month period to help resolve implementation problems. If technical assistance has been provided to resolve implementation problems, state the problems (or tasks) addressed and the results (or impact) of the assistance provided.
6. Based on the performance measures set forth in the grant application (implementation plan), indicate in quantitative terms the results of the project achieved both during the reporting period and cumulative to date. Explanatory and qualifying statements will be helpful here, especially if the project's objectives have changed.

e. **Special Requirements.** Special reporting requirements or instructions may be prescribed for categorical projects in certain program or experimental areas to better assess the impact and comparative effectiveness of the overall categorical Grant Program. These will be communicated to affected grantees by the Agency.

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Public Reporting Burden. Paperwork Reduction Act Notice. Under the Paper Reduction Act, a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. We try to create forms and instructions that are accurate, can be easily understood, and which impose the least possible burden upon you to provide us with information. The estimated average time to complete and file this Progress Report is 120 minutes per Progress Report. If you have comments regarding the accuracy of this estimate, or suggestions for making this form more user-friendly, you can write to the Office of the Assistant Attorney General, Office of Justice Programs, 810 7th Street, NW., Washington, DC 20531.

**U.S. DEPARTMENT OF JUSTICE**  
**Office of Justice Programs**  
**CATEGORICAL/DISCRETIONARY ASSISTANCE PROGRESS REPORT**

The information provided will be used by the Grantor Agency to monitor grantee cash flow to ensure proper use of Federal funds. No further monies or other benefits may be paid out under this program unless this report is completed and filed as required by existing law and regulations (Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, and OMB Circular A-110).

1. GRANTEE	2. AGENCY GRANT NUMBER	3. REPORT NO.
4. IMPLEMENTING SUBGRANTEE	5. REPORTING PERIOD (Dates) FROM:                      TO:	
6. SHORT TITLE OF PROJECT	7. GRANT AMOUNT	8. TYPE OF REPORT REGULAR        _____        SPECIAL FINAL REPORT        _____        REQUEST _____
9. NAME AND TITLE OF PROJECT DIRECTOR	10. SIGNATURE OF PROJECT DIRECTOR	11. DATE OF REPORT
12. COMMENCE REPORT HERE <i>(Continue on plain paper)</i>		
13. CERTIFICATION BY GRANTEE <i>(Official signature)</i>		14. DATE



**OFFICE OF JUSTICE PROGRAMS INSTRUCTIONS  
FOR FINANCIAL STATUS REPORTING (SF269A)**

The quarterly Financial Status Report (FSR) is due no later than 45 days after the end of the calendar quarter. Please be reminded that this is a report of expenditures not a request for reimbursement. To request reimbursement, use your assigned OJP payment system.

This FSR should be filed on-line at <https://grants.ojp.usdoj.gov>. The attached form and instructions are provided for information. When filing on-line, you will not need to fill in each box on the form, as previously reported information is pre-populated on-line. The on-line system will calculate cumulative data for you. You can change or modify only the most recent report shown on-line. Without a current FSR on file, requests for funds will not be approved and funds will not be disbursed.

1. Pre-printed as: U.S. Dept. of Justice, Office of Justice Programs
2. OJP grant number found on your grant award document.  
For example, 2005-AB-CD-0000.
1. Current name and address of the award recipient.
4. OJP-assigned 9-digit vendor number as recorded on your grant award document.
5. Enter any identifying number assigned by your organization for your internal use. If none, leave blank.
6. If you have finished expending funds and recording your required match related to this award, regardless of whether they have been or will be reimbursed by the Federal Government, check "Yes." Otherwise, check "No."
7. Indicate whether your accounting system uses a CASH or an ACCRUAL basis for recording transactions related to this award. For reports prepared on a CASH basis, outlays are the sum of actual cash disbursement for direct purchases of goods and services at the lowest funding level. For reports prepared on an ACCRUAL basis, outlays are the sum of actual cash disbursement at the lowest funding level. Unpaid obligations represent the amount of obligations that you incurred at the lowest funding level but have not yet paid out.
8. The begin and end dates of the award period.
9. The current reporting calendar quarter as listed below.

Reporting Quarter	Reports Due Not Later than
Jan 1 through Mar 31	May 15
Apr 1 through Jun 30	Aug. 14
Jul 1 through Sep 30	Nov 14
Oct 1 through Dec 31	Feb 14

Note: Data for more than one calendar quarter may be rolled up into one report for the first report submitted.

10. Lines 10a, 10b, and 10c refer to your **cash outlays** including the value of in-kind match contributions for this award at the lowest funding level (i.e., monies you have spent). Column I is the cumulative total of expenditures for the prior reported calendar quarter. Amounts in this column came from your previous report. Column II is for the current reporting calendar quarter's outlays and for any corrections needed. Column III is for the result when adding across the amounts reported in Columns I and II. **The total of lines 10b and 10c should equal the amount reported on line 10a for each column.**

Lines 10d, 10e, and 10f should only be completed if you indicated in **Box 7** that you are on an accrual basis of accounting. Lines 10d, 10e, and 10f refer to the amount of unpaid obligations or accounts payable you have incurred. An item such as payroll (which has been earned, but not yet paid) is an example of an accrued expense. Line 10d is the total of your unpaid obligations to date.

Line 10e is your share of these unpaid obligations. Line 10f is the Federal share of unpaid obligations. **The total of lines 10e and 10f should equal the amount on line 10d.**

Line 10g is the total Federal share of your cash outlays and unpaid obligations regardless of whether you have received reimbursement. It will be the total of Column III, Lines 10c and 10f. Line 10h is the total amount of your award. Change this amount only if you have received a supplemental award. Line 10i is the amount of your total award which has not either been expended through a cash outlay or encumbered by an unpaid obligation. **It is the difference between Column III, Lines 10h minus 10g equals Line 10i.**

11. Please refer to your award documents to complete this section. This section will only be completed if you have a Negotiated Indirect Cost Rate with your cognizant agency.

Line 11a. Indicate the type of rate that you have. Line 11b is the indirect cost rate in effect during this current reporting period. Line 11c is the amount of the base against which the cost rate is applied. Line 11d is the total amount of indirect costs charged during this current reporting period. Line 11e is the Federal Government share of the amount reported on Line 11d.  $(11b \times 11c = 11d)$

11 e. Note: If more than one rate was in effect during this reporting period, add the additional rate amounts in Box 12 in the Remarks section.

12. Line 12A is the cumulative amount of Federal funds your State agency has passed-through to local units of government, other specified groups or organizations as directed by the legislation of the program.

Line 12B is the cumulative amount of Federal funds subgranted including amounts subgranted to State agencies and amounts reported on Line 12A.

Line 12C is the cumulative Federal portion of forfeited assets to be used in this grant whether the assets were forfeited as a result of this grant or another grant.

Line 12D is the cumulative Federal portion of program income earned from other than forfeited assets. This is income from sources such as registration fees, tuition, and royalties. This amount should not be included in Box 10.

Line 12E is the cumulative amount of program income from all sources, including forfeited assets and interest earned, which have been expended by your organization. This amount should not be included in Box 10.

Line 12F is the balance of unexpended program income  $(12C + 12D - 12E)$ .

13. Type your name, title, phone number. A written signature is not required on-line. However, if a paper copy is submitted, please remember to sign and date it, and print your name and telephone number.

**If you submit your SF269 on-line, DO NOT fax or mail a paper copy to OJP unless requested to do so by OJP.**

# FINANCIAL STATUS REPORT

(Short Form)

File the SF269 report on-line at <https://grants.ojp.usdoj.gov>

1. Federal Agency and Organizational Element to which Report is Submitted  U.S. Dept. of Justice Office of Justice Programs (OJP)		2. Grant or Award Number Assigned by OJP		OMB Approval No. 1121-0264  Expires: 01/3/2006	Page 1	of 1 pages
3. Recipient Organization (Name and complete address, including ZIP code)						
4. Vendor Number		5. Recipient internal code or Identifying Number (if any)		6. Final Report <input type="checkbox"/> Yes <input type="checkbox"/> No	7. Basis <input type="checkbox"/> Cash <input type="checkbox"/> Accrual	
8. Funding/Grant Period (See Instructions) From: (Month, Day, Year) To: (Month, Day, Year)			9. Period Covered by this Report From: (Month, Day, Year) To: (Month, Day, Year)			
10. Transactions:			I Previously Reported	II This Period	III Cumulative	
a. Total outlays						
b. Recipient share of outlays						
c. Federal share of outlays						
d. Total unliquidated obligations						
e. Recipient share of unliquidated obligations						
f. Federal share of unliquidated obligations						
g. Total Federal share (Sum of lines c and f)						
h. Total Federal funds authorized for this funding period						
i. Unobligated balance of Federal funds (Line h minus line g)						
11. Indirect Expense	a. Type of Rate (place "x" in appropriate box) <input type="checkbox"/> Provisional <input type="checkbox"/> Predetermined <input type="checkbox"/> Final <input type="checkbox"/> Fixed					
	b. Rate	c. Base	d. Total Amount	e. Federal Share		
12. Remarks: attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.						
A. Block/Formula passthrough \$			C. Forfeit \$		D. Other \$	
B. Federal Funds Subgranted \$			E. Expended \$		F. Unexpended \$	
13. Certification I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.						
Typed or Printed Name and Title				Telephone (Area code, number and extension)		
Signature of Authorized Certifying Official				Date Report Submitted		

Standard Form 269a (REV 2002)

**Paperwork Reduction Act Notice.** Under the Paperwork Reduction Act, a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. We try to create forms and instructions that are accurate, can be easily understood, and which impose the least possible burden on you to provide us with information. You can write to the Office of Justice Programs, US Department of Justice, 810 Seventh Street, NW, Washington, DC 20531.

Once the SF 269 is submitted on-line, **DO NOT FAX or MAIL** paper copies to OJP unless requested to do so.

May 2005

## **Office of the Comptroller**

### **Post Award Instructions**

### **STEP 6 - Questions?**

The following are Frequently Asked Questions and Answers as well as contact instructions for the Office of the Comptroller's Customer Service Center.

[Asistiendo a nuestros concesionarios para resolver sus problemas financieros en español.]

Questions concerning the financial aspects of OJP awards may be directed to the Office of the Comptroller's Customer Service Center at **1-800-458-0786** or to [ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov)

Staff are available to assist callers to the Office of the Comptroller's Customer Service Center on **Monday through Friday, from 8:30 a.m. to 6:00 p.m.** By email at [ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov) or by phone

**1-800-458-0786**

The phone system for the Customer Service Center allows callers to:

**Press 1:** For a pre-recorded message providing general information about the Web-based SF269 system used to submit quarterly Financial Status Reports (SF269).

**Press 2:** To speak to a staff member in the Customer Service Center concerning payments, use of the Web-based SF269 system, or any other financial aspect of OJP or OVW Grant Awards.

**Press 3:** To speak to a member of the COPS Response Center concerning Community Oriented Policing Services grants through the COPS program.

**Press 4:** To be transferred to the Department of Justice Locator.

**Press 5:** For fax numbers for the Customer Service Center and for the OJP Control Desk.

**Press 6:** For assistance using the online Grants Management System (GMS).

**Press 7:** (Reserved for later use.)

**Press 8:** To speak to a member of the Customer Service Center staff in Spanish.

**Press 9:** To repeat this menu.

## **Office of Justice Programs - Office of the Comptroller**

### **Frequently Asked Questions**

#### **1. How will I know that an application has been approved?**

If you are the person who applied for the award or the authorized official of the organization named in the application, you will receive an e-mail notifying you of your award. There will be a link to GMS in this e-mail that you can click to access your award documents and other information. Once you are in GMS, click on the "Awards" tab to access your award. You must print, sign, and return this document to accept the award.

#### **2. What do I do with the Award Document?**

Read the Award Document and special conditions right away. **If you accept** the terms and conditions of the award, have your designated official **sign** a copy of the Award Document and special conditions, and **fax** them to the OJP Control Desk. **If you do not accept** the terms/conditions, contact the OJP Program Office noted in the award letter immediately. **NOTE: OJP will not disburse funds unless we have received these signed documents.**

#### **3. Why isn't a check with the Award Document?**

Funds are not automatically disbursed because recipients: (1) must accept and meet certain conditions of the grant before funds may be paid; (2) may be subject to certain reporting requirements throughout the life of the grant; and (3) must follow Legislation and Federal grant management procedures during the life of a grant. Compliance may affect the timing or the amount of the funds made available at any time.

Checks are not sent because the U.S. Department of the Treasury has asked all Federal agencies to use electronic direct deposit for payments. Recipients of OJP awards are to submit to the Office of the Comptroller an ACH form providing routing and account information for the establishment of electronic direct deposits.

#### **4. How do I obtain payment?**

Recipients request funds ("drawdown") using either the Phone-Activated Paperless Request System (**PAPRS**) or the Letter-of-Credit Electronic Certification System (**LOCES**). With **PAPRS**, you use a touch-tone telephone to request funds. **LOCES** requires the use of a modem, computer, and specialized software.

Upon successful completion of a drawdown, funds will be electronically deposited into an account designated by the ACH form. Grantees are notified by email when payments have been disbursed. The OC Customer Service Center can assist with questions about payments.

#### **5. How do I get more information on LOCES/PAPRS?**

PIN number and access information for assignment to the PAPRS payment system is automatically mailed to the contact person named in the application within one week of the award acceptance. For further information about LOCES/PAPRS systems, contact the OC Customer Service Center .

## **Office of Justice Programs - Office of the Comptroller** **Frequently Asked Questions**

### **6. If I have questions about my grant, whom do I contact?**

**Program questions:** Contact the Program Manager identified in the award letter.

**Financial questions:** Contact the OC Customer Service Center:

Phone: 1-800-458-0786

Fax: 202-353-9279

E-mail: [ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov)

TDD: 202-616-3867

### **7. What are my reporting responsibilities?**

**Upon initial award:** Sign and fax the Award Document and special conditions to confirm award acceptance. Complete and return the Automated Clearinghouse (ACH) form SF3881 according to the instructions in the Award Package. Follow the instructions in the Award Package to notify your Program Manager of your compliance with applicable special conditions.

**Financial reports:** Financial Status Reports (known as the "SF269" or the "FSR") are due quarterly as follows:

<b><u>Reporting Quarter</u></b>	<b><u>Due No Later Than:</u></b>
<b>January 1–March 31</b>	<b>May 15</b>
<b>April 1–June 30</b>	<b>August 14</b>
<b>July 1–September 30</b>	<b>November 14</b>
<b>October 1–December 31</b>	<b>February 14</b>

**Progress Reports:** Progress Reports are usually due as follows or as listed in the Solicitation:

<b><u>Reporting Period</u></b>	<b><u>Due No Later Than:</u></b>
<b>January 1–June 30</b>	<b>July 30</b>
<b>July 1–December 31</b>	<b>January 30</b>

**Audit reports:** Single Audit Reports may be required. A special condition is included with your award that details the reporting requirements for the audit reports. Please review that special condition.

### **8. How can I file an SF269 on-line?**

Quarterly Financial Status Reports, also known as the SF 269 Form, should be filed on-line at:

<https://grants.ojp.usdoj.gov/>

This Web269 requires the same reporting information as the paper version. The use of the Web269 enables the user to view current and past SF 269s, and allows them to file or amend the SF269 for the current quarter.

### **9. What are the address and fax numbers for OJP?**

Office of Justice Programs

Attn: Control Desk

810 Seventh Street, NW

Fax: 202-616-5962

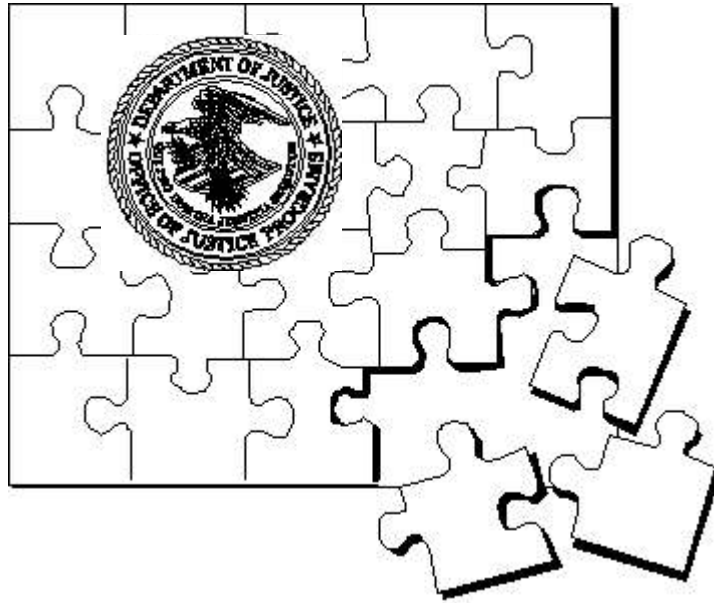
Fax: 202-616-596



U. S. Department of Justice  
Office of Justice Programs

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## Office of the Comptroller Customer Service Center



## Making the Pieces Fit

Assists grant recipients in  
resolving financial questions.

[Asistiendo a nuestros concesionarios para resolver sus problemas financieros en español.]

**Monday through Friday  
8:30 a.m.–6:00 p.m. Eastern Standard Time**

**1–800–458–0786  
TDD (Telecommunication Device for Deaf) 202–616–3867**

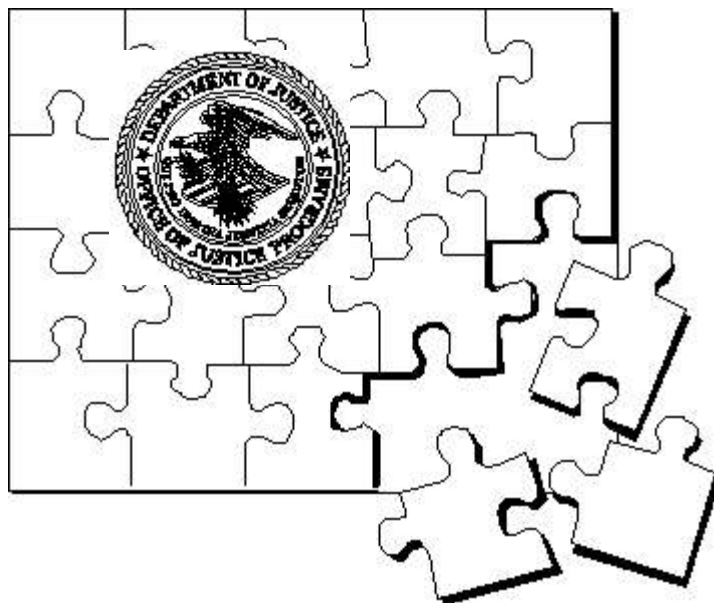
Our website address: <http://www.ojp.usdoj.gov/oc>  
or e-mail us at [ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov)  
or fax your questions to 202–353–9279

May 2005



U. S. Department of Justice  
Office of Justice Programs

## Oficina del Contralor Centro de Servicios a Nuestros Clientes



### **Arreglando los Pedazos**

Asistiendo a subvencionarios a  
resolver sus problemas financieros,  
con servicio en español.

**Lunes a Viernes  
8:30 a.m.–6:00 p.m.**

1–800–458–0786

TDD (Para los que tienen dificultad en oír) 202–616–3867

Sobre la red: <http://www.ojp.usdoj.gov/oc>

Preguntas por e-mail: [ask.oc@usdoj.gov](mailto:ask.oc@usdoj.gov)

Preguntas por fax: 202–353–9279